



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Issue application of

: **Mail Stop: ISSUE FEE**

Kazunori NUMATA et al.

: **Confirmation No. 9132**

Serial No. 09/988,706

: [Group Art Unit 2613

Filed November 20, 2001

: Examiner Dalzid Singh]

OPTICAL TRANSMISSION SYSTEM

: Attorney Docket No. 2001_1727A

SECOND RESPONSE TO ALLOWANCE

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

THE COMMISSIONER IS AUTHORIZED
TO CHARGE ANY DEFICIENCY IN THE
FEES FOR THIS PAPER TO DEPOSIT
ACCOUNT NO. 23-0975

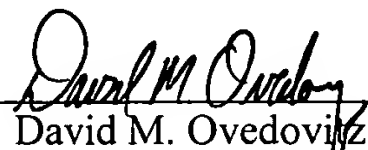
Sir:

The Applicants hereby request that the Information Disclosure Statement (IDS) filed with the Patent Office on October 28, 2005 be considered by the Examiner. The Applicants also request that the Examiner return a completely initialed copy of the form PTO-1449 which was filed as part of the IDS of October 28, 2005. Enclosed is a copy of the Information Disclosure Statement, form PTO-1449, the reference and a date-stamped postcard receipt as evidence that the IDS was filed on October 28, 2005.

Respectfully submitted,

Kazunori NUMATA et al.

By



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March 5, 2007

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Kazunori NUMATA et al.

Serial No. 09/988,706

Filed November 20, 2001



: Confirmation No. 9132

: Attorney Docket No. 2001_1727A

: Group Art Unit 2633

: Examiner Dalzid Singh

OPTICAL TRANSMISSION SYSTEM

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

COPY

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of the reference listed on attached form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for:

- ☐ each U.S. Patent and U.S. Patent application publication;
- ☐ each reference previously cited in the international application PCT/_____; and/or
- ☐ each reference previously cited in prior parent application Serial No. _____.

1a. ☐ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, or

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

and thus no certification and/or fee is required.

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, or

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☒ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

the certification of paragraph 2 below is provided, and

the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

2. It is hereby certified

a. ☒ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
 - b. ☐ a foreign patent office search report (in the English language) submitted herewith,
 - c. ☐ the concise explanation contained in the specification of the present application at page,
 - d. ☐ the concise explanation set forth in the attached English language abstract,
 - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☒ A foreign patent office action citing one or more of the references is enclosed.
6. ☒ Statement Under 37 CFR 1.704(d)

Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign Patent Office in a counterpart application, and this communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

Respectfully submitted,

Kazunori NUMATA et al.

By David M. Ovedovitz / copy
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February 21, 2007

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)
(Use several sheets if necessary)

Date Submitted to PTO: October 28, 2005

ATTY DOCKET NO.
2001_1727ASERIAL NO.
09/988,706APPLICANT
Kazunori NUMATA et al.FILING DATE
November 20, 2001GROUP
2633

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AJ	99/66354	12/1999	WO			
	AK						
	AL						
	AM						
	AN						

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AO	
	AP	
	AQ	

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy, this form with next communication to applicant.

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COPY

ATTY DOCKET #: 2001_1727A
Confirmation No. 9132
OUR REF: 2001_1727A/DMO/01413
Applicant: Kazunori NUMATA et al.
Serial No.: 09/988,706
Title: OPTICAL TRANSMISSION SYSTEM

Due Date: N/A

Filing Date: November 20, 2001

Receipt of the following papers is acknowledged:

Patent Office Fee Transmittal Form (in duplicate)
Information Disclosure Statement
PTO-1449, European Office Action and 1 reference
Check in the amount of \$180.00



Date: October 28, 2005

Attorney: DMO/jmj

[Check No. 70881]

Date: October 28, 2005